

DEPARTMENT OF CORPORATIONS
California's Investment and Financing Authority**Sacramento, California****SURVEY****CALIFORNIA FINANCIAL INFORMATION PRIVACY ACT**
Financial Code Section 4050 et seq., SB 1 (Speier, Chap. 241, Stats. 2003)

Please complete this survey and return
it within 20 days of receipt to:

California Department of Corporations
Attn: Financial Privacy Task Force
1515 K St., Suite 200
Sacramento, California 95814

Name of Licensee: _____

Address: _____

Contact: _____

Phone: _____

Date: _____

On July 1, 2004, the California Financial Information Privacy Act (Financial Code Section 4050 et seq.) became operative. This new law provides California consumers with important privacy rights.

A financial institution may not disclose, share or sell a consumer's nonpublic personal information without obtaining a consumer's consent.

If the financial institution seeks to share a consumer's information with a non-affiliated third party, the financial institution must first obtain the consumer's written consent. If the financial institution seeks to share the information with an affiliate, the financial institution must provide the customer with the opportunity to choose not have the information shared.

A financial institution providing a customer with the opportunity to not have the information shared may comply with this requirement by sending the customer the notice set forth in Financial Code Section 4053(d), entitled "Important Privacy Choices for Consumers," or may design a form in compliance with the requirements of the law.

This survey is to provide the Department of Corporations with information on the information-sharing activities of the businesses under its jurisdiction.

♦ Securities ♦ Franchises ♦ Off-Exchange Commodities ♦ Investment and Financial Services ♦
♦ Independent Escrows ♦ Consumer and Commercial Finance Lending ♦ Residential Mortgage Lending ♦

SACRAMENTO 95814-4052
1515 K STREET, SUITE 200
(916) 445-7205

SAN FRANCISCO 94105-2980
71 STEVENSON STREET, SUITE 2100
(415) 972-8559

LOS ANGELES 90013-2344
320 WEST 4TH STREET, SUITE 750
(213) 576-7500

SAN DIEGO 92101-3697
1350 FRONT STREET, ROOM 2034
(619) 525-4233

1-866-ASK-CORP**www.corp.ca.gov****1-866-275-2677**

QUESTIONS

Please check all applicable responses:

☐ We do not share or disclose a consumer's nonpublic personal information in a manner that would require us to either obtain the written consent of the consumer ("opt-in") or allow the consumer to direct us not to share his or her information ("opt-out").

☐ We are obtaining the written consent of California consumers ("opt-in") prior to sharing their nonpublic personal information with nonaffiliated third parties.

☐ We are providing California consumers with the option to opt-out of information-sharing with affiliates through the use of the form set forth in statute (Financial Code Section 4053(d)).

☐ We are providing California consumers with the option to opt-out of information-sharing with affiliates through the use of a form designed by us.

☐ All of our sharing of nonpublic personal information with affiliates is subject to an exception or exemption under the California Financial Information Privacy Act, and therefore we do not provide consumers with the opportunity to "opt out."

Since July 1, 2004, have you received any complaints from California consumers regarding the disclosure of nonpublic personal information? ____ yes ____ no
If yes, how many? _____

INFORMATION

For questions regarding this survey or the California Financial Information Privacy Act, contact the Client Resource Center at (866) ASK-CORP (1-866-275-2677).

Please be sure to return both pages 1 and 2, so that the contact information is attached to the survey.

Thank you for your cooperation.